

Internal Control Roundtable

Meeting Minutes

Meeting Date: September 28, 2017

Scribe: Jake Rossow, MMB Internal Control & Accountability (IC&A)

Presenters: Mike Thone, Jake Rossow, and Angelina Barnes (IC&A)

Host and meeting location: Vicky Baukol, Minnesota Department of Corrections (DOC), hosted the meeting at the Department of Corrections central office.

Present at the Meeting:

Mike Thone, Jake Rossow, and Angelina Barnes (IC&A), Vicky Baukol and Mark Pochardt (DOC), Morgan Grelson (Bd. of Animal Health), Paul Mathe and Brenda DaBruzzi (DPS), David Salchow (Admin), Mario Chavez (BWSR), Candice Harding, Cindy Charles, and Stephanie Wortham (MnDOT), Nick Mokaya (MPCA), Amy Jorgenson, Sandy Ludwig, and Carmen Patton-Minder (MDH), Fekade Cherinet (DEED), Robert Helgeson (OHE), Molly Nystel (WCCA), Margaret Bisek (MBA), Leslie Nagel and Ruth Krupa (TRA), Ken Vandermeer (DHS), Iryna Shafir (SBI), Jennifer Nasifoglu (OAG), Kevin Hoese (MRC), Mike Hopwood (MSA), Anton Towne (Lottery), Sharyn North (PERA), Mike Meyer (Explore MN), Jamie Majerus (MJB), John Nyanjom (MNsure), Hussein Hussein (MMB), Will Thompson (MHFA), Louise Panton (OBFF), and Walter Smith (CMAH Board Member).

Welcome and Introduction:

Vicky Baukol welcomed the group and discussed logistics of the building. Vicky introduced Deputy Commissioner Bruce Reiser of the Department of Corrections. Bruce gave an overview of the agency, outlined some challenges the agency faces, and the described the importance of effective internal controls and policies and procedures for the agency.

Main Agenda:

The Internal Control & Accountability (IC&A) Unit presented on the Roundtable survey results. The Unit rolled out its strategic plan, including Unit specific mission, vision, and values. The Unit provided an overview on the future of risk assessment, including agency-level risk assessment, risk assessment plans, and risk assessment projects. (Slides made available to members prior to the meeting).

Open Forum Topics:

- There was discussion and suggestions by the members regarding the risk assessment presentation.
- Leslie Nagel (TRA) asked for anyone familiar with extracting internal audit information on SEMA4 for expense reporting audit purposes. John Nyanjom shared information and a contact with the group.
- Candice Harding (MnDOT) brought up the recent IC Bulletin and the recommendation for two staff members to open mail. She asked if there was a statewide policy or procedure. No one was aware of such a policy or procedure.
- Dave Salchow (Admin) updated members on the OLA audit of Professional Technical (PT) Contracting and purchasing.
- Jamie Majerus (MJB) asked if any members had a cybersecurity risk assessment template. Leslie provided information.

Next Meeting:

Thursday, November 9, 2017, 9:00 – 11:00AM

Courtney Quinn, Internal Controls & Audit Manager for the Minnesota Department of Veteran's Affairs will host the meeting at the Veteran's Service Building, fifth floor conference room located at 20 West 12th Street, St. Paul MN 55155.

Meeting Agenda:

- Sheldon Klugman, Internal Controls Director for the Minnesota Department of Commerce arranged for Mike Marben, Director of the Minnesota Department of Commerce Fraud Bureau, to present on how the Fraud Bureau helps prevent, detect, and prosecute fraud in Minnesota's insurance industry.
- Open Forum